

Annual Report 2019/20



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Chair's Introduction

This has been an important year during which collaborations with colleagues from similar organisations in other geographical areas have been further developed. The senior management team have identified areas where we will benefit from such arrangements and we are confident that they will ultimately strengthen the organisation, whilst also enabling the establishment of particular centres of excellence. One of these has been training and development, where colleagues from client organisations across the region have participated in an increasing range of events that have now moved beyond those targeted at Audit Committees to involve colleagues from a broadening range of disciplines. The growing collaboration with 360 Assurance has provided the opportunity to run events in a series of locations, expanding the potential audience.

The focus on a structured approach to business development has continued to be successful, with a number of important new clients in all of Audit Yorkshire's area of operation. At a time when all clients budgets continue to be under pressure, the emphasis on resilience and sustainability has been very appropriate.

I should like to once again take the opportunity on behalf of the Audit Yorkshire Board to thank Helen, her management team and colleagues throughout the organisation. Those of us on the Audit Yorkshire Board do recognise that the significant achievements over recent years have come as a result of a combination of hard work, knowledge and experience from colleagues, and we continue to be very grateful to all involved.



*Chris Thompson
Chair of Audit
Yorkshire Board*

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Executive Summary



*Helen Kemp-Taylor
Head of Internal Audit
Audit Yorkshire*

Welcome to our 2019/20 Annual Report.

During the year we started to transform our services, in line with the Strategy and plans agreed by our Board. Demand for our services continues to increase, and there have been a number of opportunities in year to expand our portfolio particularly with non-core NHS organisations. We intend to build on this and develop products and services which are valuable to both existing Members and potential new clients.

We are incredibly proud that our External Quality Assessment this year found AY "Fully compliant" with the Public Sector Internal Audit standards. This is a huge achievement as we have brought two disparate systems of working together following our merger in 2016, and is a sign of the determination and flexibility of our staff.

I feel very privileged to be writing this, and am, as ever grateful to the Audit Yorkshire Board for their support. I would also like to place on record my thanks to the Management and wider team for their dedication and commitment to making Audit Yorkshire a success. It is our staff who keep our consortium running and who provide the energy and enthusiasm to improve and develop our services. We recognise their importance, and thank them for their continuing efforts.

The following report provides a summary of our key achievements in year.



- An assessment undertaken by CIPFA (February 2020) demonstrated that we fully conform to the requirements of the Public Sector Internal Audit Standards
- Achieved our Key Performance Indicators for the Year
- Refreshed our Quality Assurance Manual

Quality and Performance



- Continued to develop use of audit management software and further rollout of automated recommendation tracker
- Expansion of agile working across our client base
- Utilised real time voting software.
- Use of MS Teams to enable cost-effective communication

Innovative Use of Technology



- Implemented a Data Analytics strategy
- Developed a standardised approach for Financial System audits
- Continued a programme of duplicate payments work which has resulted in savings of c.£30k at one of our clients – this has been successfully recovered.

Data Analytics



- Raised awareness of cyber security threats through our newsletters and anti-crime awareness presentations
- Distributed monthly Covid-19 specific cybercrime newsletters to clients
- Built relationships with other NHS internal audit providers who are able to offer some specialist cyber security services to our clients.

Cyber Security



- Issued 12 internal audit newsletters and four anti-crime newsletters to keep clients up to date on hot topics.
- Produced a regular Covid-19 Fraud Alert Newsletter
- Shared 13 blogs on our website that were written by our staff and focused on various topics
- Updated our website and maintained our social media presence
- Undertook a communication effectiveness survey amongst our clients which informed our Communication Strategy.

Communication



- Participated in Crime Awareness Week, North Yorkshire Police Community Engagement Workshops and the NHSCFA Procurement fraud exercise
- Delivered Bespoke fraud awareness sessions to our clients
- Collaborated with the North Eastern Counter Terrorism Unit in the delivery of fraudulent document training for staff responsible for checking employees' credentials
- Worked with Health Education England and NHSCFA in the revision and update of the Fraud Awareness eLearning module, which is nationally available to NHS bodies.

Anti-Crime



- Developed a Data Security and Protection Protocol, Published a Data Protection statement on our website
- Took part in the NHS Digital Strengthening Assurance pilot for Data Security and Protection Toolkit audits in 2019/20
- Provided Data Protection Officer support to one of our clients
- Reviewed our approach to personal data on the back of the new GDPR requirements
- Our Information Governance Specialist attained a GDPR Practitioner Certificate.

Information Governance and Data Protection



Benchmarking

In order to share learning and enrich our skills and offerings, we collaborate with a range of organisations including 360 Assurance, The Internal Audit Network (TIAN), AuditOne and the Counter Fraud Managers Group on training, benchmarking and service improvements.

In 2019/20 we produced six benchmarking reports from a sample of providers and commissioners across the East Midlands and Yorkshire which were discussed at various events throughout the year and circulated to clients. They are also available on our [website](#).

- Annual Governance Statements
- Responding to the Recruitment Challenge
- Audit Committee Sub Committees
- Use of Resources
- Board Assurance Framework
- Phishing Benchmarking

Events

A key part of Audit Yorkshire's remit is to provide support to Audit Committees and we have done this by running events for the past 14 years. To facilitate learning and networking, these events have all been provided at no cost and have been made available to Audit Committee members and other interested parties across Yorkshire and the Humber.

In 2019/20 we held four events in conjunction with 360 Assurance which focused on quality, finance and cyber assurance, workforce and partnership working. The full agenda and presenters slides are available on our website.

The events were all well attended and feedback was positive.

“Really good event on a relevant topic with some engaging and insightful speakers”

“Really good balance between formal and networking opportunities”

“I value these events tremendously”

“Excellent well organised event”

“Very good format – plenty of variety and a good deal of audience participation”

Awards

The Audit Yorkshire and 360 Assurance events team were shortlisted for the 2019 HFMA Governance Award for their Audit Committee Good Governance Programme. The Audit Committee programme has been a unique and successful collaboration between NHS Audit & Assurance Providers. We have taken good practice and areas of learning from our client bases and the wider NHS and its partners which has been used to support our clients in reviewing and enhancing their governance arrangements as they steer through the challenges of improving healthcare.



In addition the events team were shortlisted for two awards at the CIPFA Public Finance Awards 2020; the Excellence in Public Audit Award and the Good Governance, Risk Management or Prevention Award. The awards were due to be held on 23 April 2020 but this was postponed due to Covid-19 and we eagerly await the results.



Audit Yorkshire recognises the importance of social value and how we, as employers, have a duty of care not just to our staff and clients but to the wider public. To deliver social value, Audit Yorkshire has committed to raising money for local and international charities throughout the course of the year. In 2019/20 several of our staff members raised money for various charities.



Gung-Ho!

On the 13th April, the team navigated their way around a 5k course whilst tackling enormous inflatables up to 50m long and 8m high!

The team raised £459.38 for Children in Need, to help them in their work to support disadvantaged children and young people all across the UK.

Macmillan Coffee Morning

On the 1st October Audit Yorkshire took part in the world's largest coffee morning.

We raised £189.60 across both sites.

Shoebox Appeal

As we entered the festive period, Audit Yorkshire turned its thoughts to those less fortunate.

Members of our team managed to fill 11 gift boxes for boys and girls between the ages of 5 and 14, with each box containing a mixture of fun toys, school supplies and hygiene items.

Christmas Jumper Day

On 13th December Audit Yorkshire joined millions of other people to take part in Save the Children's Christmas Jumper Day.

By taking part, we raised £71 which Save the Children can use to help children build a better future.



We Value:

- Customer Satisfaction** Respect our customers to retain their loyalty and trust and seek to exceed their expectations
- Excellence** Committed to being the best we can be
- Integrity** Maintain credibility by ensuring our actions always match our words.

Audit Yorkshire

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